

Partnerships for International Research and Education (PIRE)

PROGRAM SOLICITATION

NSF 16-571

REPLACES DOCUMENT(S):

NSF 14-587



National Science Foundation

Office of International Science and Engineering

Directorate for Biological Sciences

Directorate for Computer & Information Science & Engineering

Directorate for Engineering

Directorate for Education & Human Resources

Directorate for Geosciences

Directorate for Mathematical & Physical Sciences

Directorate for Social, Behavioral & Economic Sciences



The Fundação de Amparo à Pesquisa do Estado de São Paulo (FAPESP)



Ministry of Science and Technology (MOST), China



Ministry of Education, Youth, and Sports of the Czech Republic (MEYS)



Technology Agency of the Czech Republic (TA CR)



French National Research Agency



Centre National de la Recherche Scientifique (CNRS)



Deutsche Forschungsgemeinschaft



Science and Engineering Research Board (SERB), India



Science Foundation Ireland (SFI)



Italian National Institute of Nuclear Physics (INFN)



Japan Society for the Promotion of Science (JSPS), Japan



Japan Science and Technology Agency



National Research Foundation of Korea (NRF), Korea



Consejo Nacional de Ciencia y Tecnología (CONACYT), Mexico



Research Council of Norway (RCN)



National Science Centre of Poland (NCN)



Ministry of Education and Science of the Russian Federation



Ministry of Economy and Competitiveness (MINECO), Spain



Swiss National Science Foundation (SNSF)



Ministry of Science and Technology (MOST), Taiwan



Scientific and Technological Research Council of Turkey (TUBITAK)



US Agency for International Development

Preliminary Proposal Due Date(s) (required) (due by 5 p.m. submitter's local time):

September 14, 2016

Full Proposal Deadline(s) (due by 5 p.m. submitter's local time):

April 24, 2017

IMPORTANT INFORMATION AND REVISION NOTES

1. A few of the agencies from the PIRE 2015 competition will not partner with NSF in the PIRE 2017 competition.
 - Academy of Finland, Finland
 - Tekes - the Finnish Funding Agency for Innovation
2. In addition to the counterpart funding agencies from the PIRE 2015 competition that will partner with NSF in the PIRE 2017 competition (listed above), depending on research topic and partner location, funding for U.S. PIs or foreign collaborators may also be available from the additional following agencies:
 - Brazil: The Fundação de Amparo à Pesquisa do Estado de São Paulo (FAPESP),

- Czech Republic: Ministry of Education, Youth, and Sports of the Czech Republic (MEYS), and Technology Agency of the Czech Republic (TA CR),
 - Ireland: Science Foundation Ireland (SFI),
 - Italy: Italian National Institute of Nuclear Physics (INFN),
 - Norway: Research Council of Norway (RCN),
 - Poland: National Science Centre of Poland (NCN),
 - Switzerland: Swiss National Science Foundation (SNSF), and
 - Turkey: Scientific and Technological Research Council of Turkey (TUBITAK).
3. MOST Taiwan is the designated representative of the Taipei Economic and Cultural Representative Office (TECRO). MOST Taiwan is included as a PIRE counterpart agency pending appropriate governmental approvals. See PIRE solicitation webpage http://www.acpt.nsf.gov/funding/pgm_summ.jsp?pims_id=505038&org=OISE, for updates.
 4. Required costs: Costs must be included to fund a project administrator to help manage the project, thus allowing the PIs to focus on the research agenda of the award.
 5. Project Assessment: Costs should be limited to no more than 10% of total direct costs.

Any proposal submitted in response to this solicitation should be submitted in accordance with the revised *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) ([NSF 16-1](#)), which is effective for proposals submitted, or due, on or after January 25, 2016.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Partnerships for International Research and Education (PIRE)

Synopsis of Program:

Partnerships for International Research and Education (PIRE) is an NSF-wide program that supports international activities across all NSF-supported disciplines. The primary goal of PIRE is to support high quality projects in which advances in research and education could not occur without international collaboration. PIRE seeks to catalyze a higher level of international engagement in the U.S. science and engineering community.

International partnerships are essential to addressing critical science and engineering problems. In the global context, U.S. researchers and educators must be able to operate effectively in teams with partners from different national environments and cultural backgrounds. PIRE promotes excellence in science and engineering through international collaboration and facilitates development of a diverse, globally-engaged, U.S. science and engineering workforce.

This PIRE competition will be open to all areas of science and engineering research which are supported by the NSF.

Cognizant Program Officer(s):

Please note that the following information is current at the time of publishing. See program website for any updates to the points of contact.

- Cassandra M. Dudka, telephone: (703)292-7250, email: PIRE-info@nsf.gov
- Cassidy Burke, telephone: (703)292-2464, email: PIRE-info@nsf.gov

Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):

- 47.041 --- Engineering
- 47.049 --- Mathematical and Physical Sciences
- 47.050 --- Geosciences
- 47.070 --- Computer and Information Science and Engineering
- 47.074 --- Biological Sciences
- 47.075 --- Social Behavioral and Economic Sciences
- 47.076 --- Education and Human Resources
- 47.079 --- Office of International Science and Engineering
- 47.083 --- Office of Integrative Activities (OIA)

Award Information

Anticipated Type of Award: Continuing Grant

Estimated Number of Awards: 8 to 12

8 to 12 Pending the availability of funds.

Anticipated Funding Amount: \$8,000,000 to \$12,000,000

\$8,000,000 to \$12,000,000 annually, for all new awards, pending the availability of funds; the average award size is expected to be approximately \$4 million over 5 years.

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

Eligibility Information

Who May Submit Proposals:

Proposals may only be submitted by the following:

- U.S. academic institutions with Ph.D. granting programs that have awarded doctoral degrees in the 2014 or 2015 academic years in any area of research supported by NSF. Any institution not listed at <http://www.nsf.gov/statistics/2016/nsf16300/data/tab7.pdf> should contact [PIRE Program staff](#) regarding eligibility. Institutions that have not participated in past PIRE awards are especially encouraged to submit.

Who May Serve as PI:

There are no restrictions or limits.

Limit on Number of Proposals per Organization: 1

A single organization may submit one preliminary proposal as the lead institution. Full proposals will be accepted by invitation only. There is no limit on the number of proposals in which an institution can participate as a partner.

Limit on Number of Proposals per PI or Co-PI:

There are no restrictions or limits.

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- **Letters of Intent:** Not required
- **Preliminary Proposals:** Submission of Preliminary Proposals is required. Please see the full text of this solicitation for further information.
- **Full Proposals:**
 - Full Proposals submitted via FastLane: NSF Proposal and Award Policies and Procedures Guide, Part I: Grant Proposal Guide (GPG) Guidelines apply. The complete text of the GPG is available electronically on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg.
 - Full Proposals submitted via Grants.gov: NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov Guidelines apply (Note: The NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)

B. Budgetary Information

- **Cost Sharing Requirements:**

Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:**

Not Applicable
- **Other Budgetary Limitations:**

Not Applicable

C. Due Dates

- **Preliminary Proposal Due Date(s) (required)** (due by 5 p.m. submitter's local time):

September 14, 2016
- **Full Proposal Deadline(s)** (due by 5 p.m. submitter's local time):

April 24, 2017

Proposal Review Information Criteria

Merit Review Criteria:

National Science Board approved criteria. Additional merit review considerations apply. Please see the full text of this solicitation for further information.

Award Administration Information

Award Conditions:

Standard NSF award conditions apply.

Reporting Requirements:

Additional reporting requirements apply. Please see the full text of this solicitation for further information.

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I. INTRODUCTION

Recognizing the value of international partnerships in addressing critical science and engineering questions, NSF established the Partnerships in International Research and Education (PIRE) program in 2005. PIRE is an NSF-wide program that supports fundamental, international research and education in physical, living, human, and engineered systems. PIRE awards enable research at the leading edge of science and engineering by facilitating partnerships with others nationally and internationally, by educating and preparing a diverse, world-class STEM workforce, and by fostering institutional capacity for international collaboration. This agenda is designed to encourage high-risk/high-reward activities and the pursuit of potentially transformative ideas.

International engagement will be critical to keeping the U.S. globally competitive at the frontiers of knowledge. As science and engineering expertise and infrastructure advance across the globe, it is expected that the U.S. will increasingly benefit from international collaborations and a globally engaged workforce leading to transformational science and engineering breakthroughs. Therefore, PIRE will promote cooperation among scientists and engineers from all nations, and will fund international collaborative activities through all areas of research supported by NSF. PIRE is also working with counterpart funding agencies to lower barriers to international collaboration for U.S. scientists, engineers and students, and to encourage jointly funded, bilateral and multilateral projects.

This sixth round of the PIRE competition will be open to all areas of science and engineering research which are supported by NSF (including education research). Interdisciplinary proposals are encouraged.

II. PROGRAM DESCRIPTION

A. PROGRAM OBJECTIVES:

1. Support excellence in science and engineering research and education through international collaboration.
2. Promote opportunities where international collaboration can provide unique advantages of scope, scale, flexibility, expertise, facilities, or access to phenomena, enabling advances that could not occur otherwise.
3. Engage and share resources and research infrastructure within and across institutions to build strong international partnerships.
4. Create and promote opportunities for students and early career researchers to participate in substantive international research experiences.

B. CHARACTERISTICS OF PIRE PROJECTS

PIRE partners share an ambitious research vision that integrates research and education. The project theme may involve any area of science and engineering research that is supported by NSF. PIRE projects may vary in size and exhibit diverse forms of organization, collaboration, and operation suited to their individual needs. PIRE projects must include collaboration with foreign research partners and international research experiences for students to promote a diverse internationally competitive science and engineering workforce.

NSF is committed to the principle of diversity and expects PIRE projects to involve groups traditionally underrepresented in science and engineering at all levels (faculty, students and postdoctoral researchers). Underrepresented groups include women, persons with disabilities, African Americans, Hispanic Americans, Native Americans, Alaska Natives, Native Hawaiians and other Pacific

Islanders. Increasing the participation of a diverse U.S. citizenry by creating opportunities and enabling them to contribute is essential to the health and vitality of science, engineering, and education.

C. PRINCIPAL INVESTIGATOR

The Principal Investigator (PI) will be the director of the PIRE project. The PI is expected to provide intellectual leadership and to be an essential participant in research and related educational activities. The PI will have overall responsibility for the administration of the award, for the management of the project, and for serving as the main point of contact with NSF.

D. ADDITIONAL FUNDING OPPORTUNITIES

Proposals involving collaboration with all countries are eligible and encouraged.

In addition, NSF is working jointly with counterpart national and international funding organizations to enhance opportunities for collaborative activities in S&E research and education between U.S. investigators and their colleagues abroad. Funding for international collaborators on PIRE projects may be available from agencies identified in the sections below. Details in the sections below describe coordinated and supplemental funding that may be available for PIRE awardees' international collaborators from the US Agency for International Development (USAID) through the Partnerships for Enhanced Engagement in Research Program (PEER Science), and from these counterpart agencies abroad: Brazil: The Fundação de Amparo à Pesquisa do Estado de São Paulo (FAPESP), China: the Ministry of Science and Technology (MOST), Czech Republic: Ministry of Education, Youth, and Sports of the Czech Republic (MEYS), and Technology Agency of the Czech Republic (TA CR), France: Agence Nationale de la Recherche (ANR) and Centre National de la Recherche Scientifique (CNRS), Germany: Deutsche Forschungsgemeinschaft (DFG), India: Science and Engineering Research Board (SERB), Ireland: Science Foundation Ireland (SFI), Italy: Italian National Institute of Nuclear Physics (INFN), Japan: Japan Society for the Promotion of Science (JSPS), and Japan Science and Technology Agency (JST), Korea: National Research Foundation of Korea (NRF), Mexico: Consejo Nacional de Ciencia y Tecnología (CONACYT), Norway: Research Council of Norway (RCN), Poland: National Science Centre of Poland (NCN), Russia: Ministry of Education and Science (MES), Spain: Ministry of Economy and Competitiveness (MINECO), Switzerland: Swiss National Science Foundation (SNSF), *Taiwan: the Ministry of Science and Technology (MOST, Taiwan), and Turkey: Scientific and Technological Research Council of Turkey (TUBITAK).

*MOST Taiwan is the designated representative of the Taipei Economic and Cultural Representative Office (TECRO). MOST Taiwan is included as a PIRE counterpart agency pending appropriate governmental approvals. See PIRE solicitation webpage for updates.

For those PIRE proposals where the foreign collaborators may be eligible for these additional funding opportunities, NSF will coordinate and manage the review of proposals in consultation with the participating domestic and foreign funding organizations, according to the respective arrangements with NSF (see **Collaborations with Counterpart Agencies** below). Relevant information about proposals and reviews of proposals will be shared between the participating organizations as appropriate, according to the respective arrangements with NSF.

For more information as to what is required of the foreign collaborators or PIRE PIs in order to apply for these additional funding opportunities refer to the **External Agency Partners** contact information in **Part VIII. Agency Contacts**. Prior to final NSF funding recommendations, PIs whose proposals are selected for PIRE awards may be asked to submit additional information, including relevant budget details, to co-funding organizations to enable completion of their co-funding decisions. Award decisions by NSF are in no way contingent upon the funding decisions of partnering agencies.

It is important to note that NSF's partnerships with the organizations listed below do not restrict applicants from submitting proposals with foreign collaborators from locations or support from agencies that are not on that list. Proposers are free to partner with foreign collaborators of their choice.

Models of Collaboration with NSF

For PIRE-2017, select counterpart national and international funding organizations are partnering with NSF to enhance opportunities for collaborative activities between U.S. investigators and their colleagues abroad, according to the following models:

Model 1. Joint Review (Preliminary and Full Proposals) - In this model agencies will work closely with NSF from the beginning of the PIRE process and will be sharing information during the preliminary proposal stage, the full proposal stage, the award stage, and the post award stage of the process. Information on PIRE proposals and awards (that involve partnerships with institutions served by that counterpart) will be shared with NSF counterpart agencies throughout the PIRE evaluation and award process. Representatives of each agency partnering according to Model 1 may recommend reviewers and panelists for the preliminary and full proposal stages, and may be present during panels when preliminary and full proposals involving researchers served by their agency are being discussed.

Model 2. Joint Review (Full Proposals) - In this model, agencies will work closely with NSF from the beginning of the PIRE process. However, coordination and sharing of information with counterpart agencies will not occur at the preliminary proposal stage and will begin only at the time full proposals are invited. Representatives of each agency partnering according to Model 2 may recommend reviewers and panelists for the full proposal stage, and be present during panels when full proposals involving researchers served by their agency are being discussed.

Model 3. Post-Award Recommendation Review - In this model, agencies will work closely with NSF from the moment that the PIRE-invited proposals are recommended by the Office of International Science and Engineering (OISE) for award. Counterpart agencies will opt out of the preliminary and full proposal stage. Coordination and sharing of information with counterpart agencies will begin at the time full proposals are recommended for award.

Collaborations with Counterpart Agencies

D1. Collaboration with Investigators in Brazil:

- The Fundação de Amparo à Pesquisa do Estado de São Paulo (FAPESP) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Brazilian researchers who are partners in PIRE projects may be eligible for joint funding from the FAPESP. All areas of science and engineering which NSF supports are eligible. The FAPESP is planning to conduct a separate competition for the Brazilian PIRE partners.

D2. Collaboration with Investigators in China:

- The Ministry of Science and Technology (MOST) is partnering with the NSF PIRE Program according to **Model 3 – Post-Award Recommendation Review** (see above). Chinese researchers who are partners in PIRE projects may be eligible for joint funding from MOST. All areas of science and engineering which NSF supports are eligible. MOST is not planning to conduct a separate competition for the Chinese PIRE partners.

D3. Collaboration with Investigators in Czech Republic:

- The Ministry of Education, Youth, and Sports of the Czech Republic (MEYS) is partnering with the NSF PIRE Program according to **Model 2 – Joint Review (Full Proposals)** (see above). Czech researchers who are partners in PIRE projects may be eligible for joint funding from the MEYS. All areas of science and engineering which NSF supports are eligible. The MEYS is planning to conduct a separate competition for the Czech PIRE partners.
- The Technology Agency of the Czech Republic (TA CR) is partnering with the NSF PIRE Program according to **Model 3 - Post-Award Recommendation Review** (see above). Researchers from the Czech Republic who are partners on PIRE projects may be eligible for joint funding from the TA CR only for proposals that support collaboration in the area of applied research or experimental development and are eligible for funding from TA CR's DELTA program. Projects of basic research and of applied research or experimental development that are not eligible for funding from TA CR's DELTA program are invited to participate but will not receive support from TA CR. The maximum project duration for the collaborators from the Czech Republic is 3 years. TA CR is planning to conduct a separate competition for the researchers from the Czech Republic that are proposed as PIRE partners.

D4. Collaboration with Investigators in France:

- The Agence Nationale de la Recherche (ANR) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Researchers from France who are partners on PIRE projects may be eligible for joint funding from the ANR only for proposals that are bi-national (that only include collaborators from France) and only if they submit the same full proposal to ANR in parallel according to ANR deadlines and guidelines. ANR will only support projects in the area of Materials, Physics, Chemistry, Engineering, Energy, Nanotechnologies, and Information Communication Technologies. The maximum project duration for the projects funded by ANR is 4 years. The ANR is planning to conduct a separate competition.
- The Centre National de la Recherche Scientifique (CNRS) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). CNRS-based researchers who are partners in PIRE projects may be eligible for support from the CNRS, which will define the terms and conditions for such a potential support on an ad hoc basis. All areas of science and engineering which NSF supports are eligible.

D5. Collaboration with Investigators in Germany:

- The Deutsche Forschungsgemeinschaft (DFG) is partnering with the NSF PIRE Program as **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above) and will be conducting a separate competition for the German PIRE partners according to a two track system. Please contact DFG for more information and for deadline dates. German researchers who are partners in PIRE projects may be eligible for joint funding from the DFG. All areas of science and engineering which NSF supports are eligible.

D6. Collaboration with Investigators in India:

- The Science and Engineering Research Board (SERB) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Indian researchers who are partners in PIRE projects may be eligible for joint funding from SERB. All areas of science and engineering which NSF supports are eligible. SERB is planning to conduct a separate competition for the Indian PIRE partners.

D7. Collaboration with Investigators in Ireland:

- The Science Foundation Ireland (SFI) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Irish researchers who are partners in PIRE projects may be eligible for joint funding from the SFI. All areas of science and engineering which NSF supports are eligible. The SFI will not run its own separate competition but will require applicants to provide information in advance for the Irish PIRE partners.

D8. Collaboration with Investigators in Italy:

- The Italian National Institute of Nuclear Physics (INFN) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Italian researchers who are partners in PIRE projects may be eligible for joint funding from the INFN. All areas of science and engineering which NSF supports are eligible, although special areas of R&D for the next generation of gravitational wave interferometers, and the search for dark matter have been identified as priorities. The INFN is planning to conduct a separate competition for the Italian PIRE partners.

D9. Collaboration with Investigators in Japan:

- The Japan Society for the Promotion of Science (JSPS) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Japanese researchers who are partners in PIRE projects may be eligible for joint funding from the JSPS. All areas of science and engineering which NSF supports are eligible. The JSPS is planning to conduct a separate competition for the Japanese PIRE partners.
- The Japan Science and Technology Agency (JST) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Japanese researchers who are partners in PIRE projects and who have active awards in the JST CREST, PRESTO, and ALCA programs may be eligible for joint funding from the JST. The JST is planning to conduct a separate competition for the Japan PIRE partners.

D10. Collaboration with Investigators in Korea :

- The National Research Foundation of Korea (NRF) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Korean researchers who are partners in PIRE projects may be eligible for joint funding from the NRF. All areas of science and engineering which NSF supports are eligible. The NRF is not planning to conduct a separate competition.

D11. Collaboration with Investigators in Mexico:

- The Consejo Nacional de Ciencia y Tecnología (CONACYT) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Mexican researchers who are partners in PIRE projects may be eligible for joint funding from the CONACYT. All areas of science and engineering which NSF supports are eligible. CONACYT does have several priority research areas; please contact CONACYT to learn more about them. CONACYT is planning to conduct a separate competition for the Mexican PIRE partners.

D12. Collaboration with Investigators in Norway:

- The Research Council of Norway (RCN) is partnering with the NSF PIRE Program according to **Model 2 – Joint Review (Full Proposals)** (see above). Norwegian researchers who are partners in PIRE projects may be eligible for joint funding from the RCN. All areas of science and engineering which NSF supports are eligible. The RCN is planning to conduct a separate competition for the Norwegian PIRE partners.

D13. Collaboration with Investigators in Poland:

- The National Science Centre of Poland (NCN) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Polish researchers who are partners in PIRE projects may be eligible for joint funding from the NCN. All areas of science and engineering which NSF supports are eligible. The NCN is not planning to conduct a separate competition for the Polish PIRE partners.

D14. Collaboration with Investigators in Russia:

- The Ministry of Education and Science (MES) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Russian researchers who are partners in PIRE projects may be eligible for joint funding from the MES. All areas of science and engineering which NSF supports are eligible. The MES is planning to conduct a separate competition for the Russian PIRE partners.

D15. Collaboration with Investigators in Spain:

- The Ministry of Economy and Competitiveness (MINECO) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Spanish researchers who are partners in PIRE projects may be eligible for joint funding from MINECO. All areas of science and engineering which NSF supports are eligible. MINECO is planning to conduct a separate competition for the Spanish PIRE partners.

D16. Collaboration with Investigators in Switzerland:

- The Swiss National Science Foundation (SNSF) is partnering with the NSF PIRE Program according to **Model 2 – Joint Review (Full Proposals)** (see above). Swiss researchers who are partners in PIRE projects may be eligible for joint funding from the SNSF. All areas of science and engineering which NSF supports are eligible. The duration of funded projects is limited to 4 years and only costs related to educational/capacity building are eligible for Swiss partners. SNSF encourages Swiss partners to register their submission of a PIRE proposal informally at the SNSF. The SNSF is not planning to conduct a separate competition for the Swiss PIRE partners.

D17. Collaboration with Investigators in Taiwan:

- The Ministry of Science and Technology (MOST, Taiwan) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Taiwanese researchers who are partners in PIRE projects may be eligible for joint funding from MOST, Taiwan. All areas of science and engineering which NSF supports are eligible. MOST, Taiwan is planning to conduct a separate competition for the Taiwanese PIRE partners.

D18. Collaboration with Investigators in Turkey:

- The Scientific and Technological Research Council of Turkey (TUBITAK) is partnering with the NSF PIRE Program according to **Model 1 – Joint Review (Preliminary and Full Proposals)** (see above). Turkish researchers who are partners in PIRE projects may be eligible for joint funding from the TUBITAK. All areas of science and engineering which NSF supports are eligible. TUBITAK is planning to conduct a separate competition for the Turkish PIRE partners.

D19. Collaboration with Investigators in USAID locations:

- The US Agency for International Development (USAID) through the Partnerships for Enhanced Engagement in Research Program (PEER Science) is partnering with the NSF PIRE Program according to **Model 3 – Post-Award Recommendation Review** (see above). Researchers in USAID locations who are partners in PIRE projects may be eligible for joint funding from USAID through the PEER Science Program. Research areas that may be eligible are a range of development-related topics, including but not limited to food security, climate change, water, biodiversity, disaster mitigation, and renewable energy. The PEER Science Program is planning to conduct a separate competition for the USAID locations researcher PIRE partners.

E. VISAS AND PERMITS

PIs are responsible for obtaining any required visas for foreign travel and for providing documentation through the U.S. research institution in support of U.S. visas for foreign counterpart investigators. PIs are also responsible for obtaining research permits and import/export documents where necessary. PIs should review NSF's web page "Information for U.S. Travelers", <http://www.nsf.gov/od/ia/ise/for-travelers-main.jsp>.

III. AWARD INFORMATION

Estimated number of awards is 8-12 pending availability of funds.

It is anticipated that \$8,000,000 to \$12,000,000 will be available annually, for all awards, pending the availability of funds; the average award size is expected to be approximately \$4 million over 5 years.

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

IV. ELIGIBILITY INFORMATION

Who May Submit Proposals:

Proposals may only be submitted by the following:

- U.S. academic institutions with Ph.D. granting programs that have awarded doctoral degrees in the 2014 or 2015 academic years in any area of research supported by NSF. Any institution not listed at <http://www.nsf.gov/statistics/2016/nsf16300/data/tab7.pdf> should contact [PIRE Program staff](#) regarding eligibility. Institutions that have not participated in past PIRE awards are especially encouraged to submit.

Who May Serve as PI:

There are no restrictions or limits.

Limit on Number of Proposals per Organization: 1

A single organization may submit one preliminary proposal as the lead institution. Full proposals will be accepted by invitation only. There is no limit on the number of proposals in which an institution can participate as a partner.

Limit on Number of Proposals per PI or Co-PI:

There are no restrictions or limits.

Additional Eligibility Info:

Institutions holding current PIRE awards are eligible to apply only if submitted proposals are significantly different in scope from those previously awarded. Incremental expansions of funded projects do not qualify and will be returned without review.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

Preliminary Proposals (required): Preliminary proposals are required and must be submitted via the NSF FastLane system, even if full proposals will be submitted via Grants.gov.

The PRELIMINARY PROPOSAL should present the main concept of the proposed project.

The preliminary proposal should consist of the following elements:

1. **Cover Sheet:** Check the box indicating that this is a preliminary proposal. Provide an informative title that begins with "PIRE:". The proposed PIRE Project Director must be shown as the Principal Investigator. For administrative purposes, enter \$2 in the Requested Amount box on the FastLane Cover Sheet. Do not enter any other budget figures in FastLane. Check the international cooperative activities box and select appropriate countries from the pull-down list.
2. **Project Summary:** (1 page maximum) Describe the concept of the proposed PIRE project, including why the international partnership is critical to the project success. Separately address the intellectual merit and broader impacts of the project. The summary should be informative to those working in the same or related field(s), and understandable to a scientifically or technically literate reader.
3. **Table of Contents:** A table of contents is automatically generated for the proposal by the FastLane system. The proposer cannot edit this form.
4. **Project Description (6 page maximum):** The Project Description should take the form of a concept paper that clearly outlines the research challenges being addressed or breakthroughs being sought in the proposed PIRE project. The proposed approaches must be innovative and must show clear benefit from international collaboration (for example, expertise, facilities, resources, access to phenomena) and active engagement of US students and junior researchers. Include the following elements:
 1. **Administrative Summary** (1 page maximum) should include:
 - title of the project
 - principal investigator
 - length of study (maximum 5 years)
 - estimated total budget (does not need to be itemized)
 - lead institution
 - list of partner institutions and key researchers
 - If the proposal is to be considered for Additional Funding Opportunity(ies) as described in Section II.D., **explicitly name the funding partner agency(ies).**
 2. **Research Summary** (3 page maximum): Summarize the main ideas and essence of the proposed research. Describe the issue/topic the proposed research is trying to address, the overall goal, approaches, expected outcomes, and the synergy that each participant brings to the project.
 3. **Education Summary** (2 page maximum): Describe the goals of the proposed education activities, and how the integration of research and education will advance the proposed PIRE project in a way that other funding mechanisms cannot. A justification for education programs and activities should be included and described in the context of current knowledge of teaching and learning.
5. **References Cited:** Per NSF Grant Proposal Guide instructions.
6. **Biographical Sketches:** Required for PIRE Project Director (PI), Co-PIs, and key domestic and international partners. Use the required NSF Biographical Sketch format as specified in the NSF Grant Proposal Guide ([GPG Chapter II.C.2.f](#)).
7. **Required Information on Conflicts of Interests:** *In lieu of the instructions specified in the GPG, Collaborators and Other Affiliations Information should be submitted as follows:* In addition to the information provided in the Biographical Sketches, a **Single Copy Document** should be provided giving an alphabetically ordered list of people in the academic or professional community who have **Conflicts of Interest** with the PIRE director, Co-PIs, or key domestic or international partners. This list should include the PIRE Director (PI), Co-PIs, and key domestic and international partners: people with whom they have collaborated within the past 48 months; all of their Ph.D. advisees and advisors; and people with whom they co-edited a journal or proceedings within the past 24 months. In this list, include the name of each individual in conflict and their current institutional or company affiliation.
8. **Optional Supplemental Documents:** Official letters of collaboration are not required at the preliminary proposal stage; however, informal evidence indicating agreement to collaborate is encouraged for both U.S. and international partners. Note

that partner institutions and key participants may not be changed in the subsequent full proposal.

9. **Optional Reviewer Information:** A list of suggested reviewers, or reviewers not to include, with a brief explanation or justification for why the reviewer should be excluded, may be submitted in the Single Copy Documents Section.

No other items or appendices are to be included in the preliminary proposal. Current and Pending Support Statements; Facilities, Equipment and Other Resources; Budget and Budget Justification; Data Management Plan; and Postdoctoral Mentoring Plan are not required for preliminary proposals and should not be included.

Preliminary proposals containing items other than those described above will be returned without review.

Full Proposal Preparation Instructions: Proposers may opt to submit proposals in response to this Program Solicitation via Grants.gov or via the NSF FastLane system.

- Full proposals submitted via FastLane: Proposals submitted in response to this program solicitation should be prepared and submitted in accordance with the general guidelines contained in the NSF Grant Proposal Guide (GPG). The complete text of the GPG is available electronically on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from nsfpubs@nsf.gov. Proposers are reminded to identify this program solicitation number in the program solicitation block on the NSF Cover Sheet For Proposal to the National Science Foundation. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.
- Full proposals submitted via Grants.gov: Proposals submitted in response to this program solicitation via Grants.gov should be prepared and submitted in accordance with the NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov. The complete text of the NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: (http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide). To obtain copies of the Application Guide and Application Forms Package, click on the Apply tab on the Grants.gov site, then click on the Apply Step 1: Download a Grant Application Package and Application Instructions link and enter the funding opportunity number, (the program solicitation number without the NSF prefix) and press the Download Package button. Paper copies of the Grants.gov Application Guide also may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from nsfpubs@nsf.gov.

See Chapter II.C.2 of the **GPG** for guidance on the required sections of a full research proposal submitted to NSF. Please note that the proposal preparation instructions provided in this program solicitation may deviate from the GPG instructions.

FULL PROPOSALS WILL BE ACCEPTED BY INVITATION ONLY. Include the components described below. Consider these important notes.

- Proposals that exceed the specified page limitations given below will be returned without review.
- No additional information may be provided by links to web pages.
- For PIRE proposals that are collaborations which include more than one U.S. university, the PIRE proposal must be submitted as a single integrated proposal by the lead university, with proposed sub awards to the other partner institutions. Separate proposals from each partner will not be accepted, since separately submitted collaborative PIRE proposals are not allowed.
- U.S. Project Directors are advised to make sure that their foreign collaborators consult their funding agencies to determine whether they are eligible to submit a proposal, whether separate submission to their agency is required, and the agency submission requirements.
- If the project involves **human subjects**, the Institutional Review Board (IRB) of the submitting organization must certify that the proposed project is in compliance with the Federal Government's "Common Rule" for the protection of human subjects. If IRB approval has been obtained and the date of approval is listed on the cover sheet, no other certification is required. If IRB approval is still pending, submit certification of IRB approval in electronic form as soon as approval is obtained to the cognizant program officer. (The name of this program officer will be listed in the Proposal Status module of FastLane.) Delays in obtaining IRB certification may result in NSF being unable to make an award. For more information regarding the protection of human subjects, consult <http://www.nsf.gov/bfa/dias/policy/hsfaqs.jsp>
- If the project involves the **use of vertebrate animals**, the project must be approved by the submitting organization's Institutional Animal Care and Use Committee (IACUC) before an award can be made. For more detail, see NSF's [Proposal and Award Policy and Procedures Guide](#).
- PIs proposing work in the **Arctic or Antarctic Polar Regions** should contact the Division of Polar Programs program officer associated with the program most closely aligned with the proposed research for guidance on submission (<http://www.nsf.gov/div/index.jsp?div=PLR>).

1. COVER SHEET:

- Select this PIRE solicitation number from the FastLane pull-down menu. For Grants.gov users, the solicitation number will be prepopulated by Grants.gov.
- Include the preliminary proposal number.
- Show the proposed Project Director as the Principal Investigator.
- Although NSF recognizes that international collaborators play an integral role in partnerships, list only U.S. participants as PI or co-PIs.
- Check the international cooperative activities box and select the countries involved from the pull-down list.

2. PROJECT SUMMARY (1 page maximum):

- Include project title, PI's name, and name of the lead institution.
- The Project Summary is required to consist of an overview, a statement on the intellectual merit of the proposed activity, and a statement on the broader impacts of the proposed activity (for additional instructions, see the NSF Grant Proposal Guide).
- Provide a clear and concise description of the project.
- Indicate the unique opportunities that the international partners bring to the project.
- Write a summary that is informative to those working in the same or related fields and, as far as possible, understandable to a scientifically or technically literate lay reader.

3. PROJECT DESCRIPTION (20 page maximum): In addition to the NSF Grant Proposal Guide, standard description, the guidelines below must be followed. Note that the 20 -page maximum includes the required section on **Broader Impacts** (see the NSF Grant Proposal Guide), Results of Prior NSF Support, and all tables, figures, and other graphical data. Program Objectives (section II.A. above) should be considered in items a) through e) below.

a) List of Participants: Include names and departmental and institution/organization affiliation of PI, co-PIs, and other Senior Personnel, both U.S. and international.

b) Research Plan:

- Describe the goals of the project, scientific and technical approaches, with expected outcomes and

milestones. Illustrate how this research represents important advances achievable only through international collaboration. Descriptions must be sufficiently detailed to allow adequate review.

- Explain how international collaboration will be integrated into the overall research plan. Highlight specific and unique contributions (e.g., expertise, facilities, sites, data, approaches/methods, opportunities, etc.) of each U.S. and international partner.

c) Plan for Educational Activities:

- Make clear what activities provide international research experience for students and early career researchers. Describe training and/or educational activities that take advantage of unique and specific opportunities the proposed project would provide. Broadening participation of members of under-represented groups and small colleges and universities is especially encouraged. Underrepresented groups include women, persons with disabilities, African Americans, Hispanic Americans, Native Americans, Alaska Natives, Native Hawaiians and other Pacific Islanders.
- Describe procedures, arrangements, and plans for recruiting, selecting, preparing, and sending student participants to international sites, including logistical arrangements (lodging, transportation, health care, safety, etc.), language and cultural issues, and administrative requirements.

d) Management Plan:

- Describe the overall structure of the partnership; plans for internal means of communication; coordination of data and information management; allocation of funds and personnel; and other specific issues relevant to the proposed activities.
- Summarize the role of each investigator. Indicate the time commitment of each key project member in the management plan, regardless of any request for his/her salary from NSF.
- Summarize the role of the project administrator and indicate the annual time commitment this person will devote to the project.
- Present an evaluation and assessment plan that will facilitate the development and effective management of the research and educational components of the project, including relevant international collaborative oversight.

International collaborative oversight may include:

- Adherence to common principles for the responsible conduct of research and misconduct, including the training of students and postdocs in an international context (for references, see NSF International Research Integrity at <http://www.nsf.gov/od/oise/intl-research-integrity.jsp>, and NIH Fogarty International Center materials at <http://med.brown.edu/fogarty/codes.htm>).
- Anticipated risks and challenges of the international collaboration.
- Compliance with regulations for the use of recombinant DNA, microbes, transgenic plants or animals, including any work involving vertebrate animals (see [GPG Chapter II.D.7](#)).
- Compliance with regulations relating to the [US Agricultural Bioterrorism Act of 2002](#).
- Financial accountability: monitoring of expenditures and reporting on outcomes, in the exceptional case of subawards to international institutions. The lead institution should also provide a description of any past experiences in dealing with subawards to foreign institutions, particularly in the location(s) where subawards would be made in this proposal.

e) Results from Prior NSF Support (5 page maximum): PI, co-PIs, and Senior Personnel who received NSF funding in the past five years must provide information on the prior award(s), and a summary of the results of the completed work, including accomplishments. The results must be separately described under two distinct headings, Intellectual Merit and Broader Impacts. Individuals who have received more than one prior award (excluding amendments) must report on the award most closely related to this proposal. Required information is described in the NSF Grant Proposal Guide.

4. **REFERENCES CITED:** Cite references relevant to both the research and educational plans, using the standard NSF format as per the NSF Grant Proposal Guide (GPG)

5. **BIOGRAPHICAL SKETCHES:**

- Include biographical sketches of U.S. and international PIs, co-PIs, and other Senior Personnel.
- Prepare NSF standard 2-page biosketches, **including those for international collaborators**, in accordance with the **required NSF format**, as specified in the NSF Grant Proposal Guide.
- Emphasize information helpful for understanding the strengths, qualifications, and specific impact the individual brings to the PIRE project.

6. **CURRENT AND PENDING SUPPORT:** Include current and pending support for the PI, co-PIs, and U.S. Senior Personnel.

7. **FACILITIES, EQUIPMENT and OTHER RESOURCES:** Describe facilities and major instruments in both the U.S. and abroad in sufficient detail to allow assessment of the adequacy of resources available to perform the effort proposed.

8. **SUPPLEMENTARY DOCUMENTATION:** Proposals that do not include the required supplementary documents, or that include non-required documents, will be returned without review.

1. **Letters of Collaboration:** Include only official letters with specific commitments of resources from participating institutions, or organizations expected to receive subawards, or from organizations that will provide resources for the project. The following documents are required.

1. Letters from international partner PIs, co-PIs or senior administrators expressing intent to collaborate and describing the potential benefits of the project to their side of the partnership and the related support available through their institutions and funding mechanisms.
2. A letter from a senior administrative official of the submitting institution describing how PIRE resources will be leveraged for long-lasting impact on the institution's engagement in international research and education collaborations.
3. A letter from a senior international officer at the submitting institution describing how various institutional entities responsible for dealing with international research and education will support the proposed international activities.

2. **Data Management Plan** (2 page maximum): Describe how data and information resulting from the proposed project will be managed with details on how data will be shared among partnering researchers and institutions. See [GPG Chapter II C.2.j](#) "Special Information and Supplementary Documentation" and [Proposal and Award Policy and Procedures Guide](#), Sections II.C.2.d.(i), II.C.2.j, II.D.8, "Dissemination and Sharing of Research Results".

3. **Postdoctoral Researcher Mentoring Plan** (1 page maximum): If the project requests funding to support any postdoctoral researcher(s), the proposal must include a description of mentoring activities that will be provided for such individuals. See [GPG Chapter II C.2.j](#) "Special Information and Supplementary Documentation" and [Proposal and Award Policy and Procedures Guide](#).

4. **Foreign Partner(s) Proposal or Funding Information:**

- If the foreign collaborators are applying (or planning to apply) for the coordinated and supplemental funding that

may be available through the partnering counterpart agencies as discussed in this document, full PIRE proposals should provide information on that proposed support, including the name of the counterpart agency or agencies, proposal title, names of principal investigators, proposed scale of funding (including a draft budget if **Model 1** or **Model 2** (see above)), and proposed duration of award.

- o If the foreign collaborators propose to partner under existing foreign funding or award(s), or to apply to a foreign funding source for a supplement to an existing foreign award, the full PIRE proposal should provide information on the existing award, including the name of the agency or source, project title, names of the principal investigators, scale of funding, and duration of award.

5. **Single Copy Documents:** *In lieu of the instructions specified in the GPG, Collaborators and Other Affiliations Information should be submitted as follows:* Provide a single, alphabetically ordered list of people in the academic or professional community who have Conflicts of Interest with any personnel involved in the proposed project, including the people with whom they have collaborated within the past 48 months; all of their Ph.D. advisees and advisors, people with whom they co-edited a journal or proceedings within the past 24 months, and members of all advisory boards. In this list, include the name of each individual in conflict, and the current institutional or company affiliation of each individual.

B. Budgetary Information

Cost Sharing:

Inclusion of voluntary committed cost sharing is prohibited.

Budget Preparation Instructions:

Budget Justification (3-page limit):

- A Budget Justification should be provided (maximum 3 pages per budget and subaward budget). A careful and realistic budget that is consistent with the proposed activities will add to the overall strength of a proposal.
- Explore use of off-campus indirect cost rates whenever appropriate. Provide indirect cost rate calculations and the basis to which both on campus and off-campus rates apply.

Required Costs: Include costs of travel for two project participants for one trip per year to the Washington, D.C. area to participate in a 1.5 day PIRE Grantees' meeting. In addition, include costs of travel for two project participants in year three of the project to attend a PIRE Reverse Site Visit in the Washington, D.C. area. Also include costs to fund a project administrator to help manage the project, thus allowing the PIs to focus on the research agenda of the award.

Allowable Costs for NSF PIRE Budget:

- A significant portion of direct costs should fund **U.S. undergraduate students, graduate students, and/or early career researchers** to conduct collaborative research-related activities at foreign sites.
- **Salaries, wages, and fringe benefits for senior project personnel:** Up to two months per year for the PI and up to one month per year for other senior project personnel, within the limits established in NSF's [Proposal and Award Policy and Procedures Guide](#).
- **Salaries, wages, and fringe benefits for a project administrator, postdoctoral scholars, other professionals, graduate students, secretarial-clerical, or administrative staff** who will perform dedicated work on the PIRE project.
- **Participant Support Costs:** Stipends, travel, subsistence and other costs of participation for undergraduate students or K-12 teachers should be included under Participant Support Costs. Stipends for undergraduate students should be budgeted at rates comparable to those in the Research Experiences for Undergraduates (REU) program (http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=5517) in addition to any travel and subsistence costs incurred while abroad. Travel, subsistence and other costs of participation in PIRE project meetings and workshops for faculty, researchers and students from non-grantee institutions (who are not included in subawards) should also be included under Participant Support Costs.
- **Travel:** Research-related travel support (i.e., airfare, lodging, meals, and incidental expenses). For living expenses abroad, applicants are encouraged to work with international counterparts to develop realistic budget requests. For example, access to university guest housing or similar facilities should be explored. Cost-effective arrangements should be made for individuals residing at the international site for extended periods and for projects involving on-going exchanges of short-term visitors. Costs for lodging, meals and incidental expenses (MI&E) should not exceed the authorized [U.S. Government per diem rates](#), calculated at the daily rate for the first 30 days of a project visit, and 50 percent of that rate for all time after that.
- **Expenses related to project assessment:** Should include consultant fees for internal or external evaluators and costs associated with tracking participating students beyond graduation. Costs should be limited to no more than 10% of total direct costs.
- **Other Direct Costs:** May include PIRE-specific items, for example, research and education communication linkages between institutions, language training, non-travel costs associated with coordination meetings, and preparation/orientation of students for living abroad.
- All expected **subawards** should be included, regardless of amount.
- **Equipment:** PIRE is not intended to support the purchase, operation or maintenance of moderate to large equipment. Only limited equipment costs can be included.
- **NSF awards normally support the U.S. portion of the collaboration.** However, when collaborators are scientists and engineers from a developing country or from a country whose currency is not convertible, limited funds may be requested to support their participation in the project. Proposers should consult the cognizant Office of International Science and Engineering program officer for the country(ies) in question (<http://www.nsf.gov/od/ia/ise/country-list.jsp>). U.S. PIs planning to collaborate with developing country partners are encouraged to consider the potential for USAID collateral support of their partners through the Partnerships for Enhanced Engagement in Research Program (PEER Science), as described in section II.D.11.

Although reciprocal visits by international researchers and students to U.S. institutions are encouraged, NSF will not usually pay for the expenses of foreign scientists or students undertaking such visits; however, when projects involve exchanges of researchers and/or students, reciprocal arrangements for provision of housing and subsistence are encouraged, with adherence to the overall principle that each side supports equivalent costs.

C. Due Dates

Preliminary Proposal Due Date(s) (required) (due by 5 p.m. submitter's local time):

September 14, 2016

- **Full Proposal Deadline(s)** (due by 5 p.m. submitter's local time):

April 24, 2017

D. FastLane/Grants.gov Requirements

For Proposals Submitted Via FastLane:

To prepare and submit a proposal via FastLane, see detailed technical instructions available at: <https://www.fastlane.nsf.gov/a1/newstan.htm>. For FastLane user support, call the FastLane Help Desk at 1-800-673-6188 or e-mail fastlane@nsf.gov. The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this funding opportunity.

For Proposals Submitted Via Grants.gov:

Before using Grants.gov for the first time, each organization must register to create an institutional profile. Once registered, the applicant's organization can then apply for any federal grant on the Grants.gov website. Comprehensive information about using Grants.gov is available on the Grants.gov Applicant Resources webpage: <http://www.grants.gov/web/grants/applicants.html>. In addition, the NSF Grants.gov Application Guide (see link in Section V.A) provides instructions regarding the technical preparation of proposals via Grants.gov. For Grants.gov user support, contact the Grants.gov Contact Center at 1-800-518-4726 or by email: support@grants.gov. The Grants.gov Contact Center answers general technical questions related to the use of Grants.gov. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this solicitation.

Submitting the Proposal: Once all documents have been completed, the Authorized Organizational Representative (AOR) must submit the application to Grants.gov and verify the desired funding opportunity and agency to which the application is submitted. The AOR must then sign and submit the application to Grants.gov. The completed application will be transferred to the NSF FastLane system for further processing.

Proposers that submitted via FastLane are strongly encouraged to use FastLane to verify the status of their submission to NSF. For proposers that submitted via Grants.gov, until an application has been received and validated by NSF, the Authorized Organizational Representative may check the status of an application on Grants.gov. After proposers have received an e-mail notification from NSF, Research.gov should be used to check the status of an application.

VI. NSF PROPOSAL PROCESSING AND REVIEW PROCEDURES

Proposals received by NSF are assigned to the appropriate NSF program for acknowledgement and, if they meet NSF requirements, for review. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF either as *ad hoc* reviewers, panelists, or both, who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officer's discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal. In addition, Program Officers may obtain comments from site visits before recommending final action on proposals. Senior NSF staff further review recommendations for awards. A flowchart that depicts the entire NSF proposal and award process (and associated timeline) is included in the [GPG](#) as Exhibit III-1.

A comprehensive description of the Foundation's merit review process is available on the NSF website at: http://www.nsf.gov/bfa/dias/policy/merit_review/.

Proposers should also be aware of core strategies that are essential to the fulfillment of NSF's mission, as articulated in *Investing in Science, Engineering, and Education for the Nation's Future: NSF Strategic Plan for 2014-2018*. These strategies are integrated in the program planning and implementation process, of which proposal review is one part. NSF's mission is particularly well-implemented through the integration of research and education and broadening participation in NSF programs, projects, and activities.

One of the strategic objectives in support of NSF's mission is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions must recruit, train, and prepare a diverse STEM workforce to advance the frontiers of science and participate in the U.S. technology-based economy. NSF's contribution to the national innovation ecosystem is to provide cutting-edge research under the guidance of the Nation's most creative scientists and engineers. NSF also supports development of a strong science, technology, engineering, and mathematics (STEM) workforce by investing in building the knowledge that informs improvements in STEM teaching and learning.

NSF's mission calls for the broadening of opportunities and expanding participation of groups, institutions, and geographic regions that are underrepresented in STEM disciplines, which is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

A. Merit Review Principles and Criteria

The National Science Foundation strives to invest in a robust and diverse portfolio of projects that creates new knowledge and enables breakthroughs in understanding across all areas of science and engineering research and education. To identify which projects to support, NSF relies on a merit review process that incorporates consideration of both the technical aspects of a proposed

project and its potential to contribute more broadly to advancing NSF's mission "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense; and for other purposes." NSF makes every effort to conduct a fair, competitive, transparent merit review process for the selection of projects.

1. Merit Review Principles

These principles are to be given due diligence by PIs and organizations when preparing proposals and managing projects, by reviewers when reading and evaluating proposals, and by NSF program staff when determining whether or not to recommend proposals for funding and while overseeing awards. Given that NSF is the primary federal agency charged with nurturing and supporting excellence in basic research and education, the following three principles apply:

- All NSF projects should be of the highest quality and have the potential to advance, if not transform, the frontiers of knowledge.
- NSF projects, in the aggregate, should contribute more broadly to achieving societal goals. These "Broader Impacts" may be accomplished through the research itself, through activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. The project activities may be based on previously established and/or innovative methods and approaches, but in either case must be well justified.
- Meaningful assessment and evaluation of NSF funded projects should be based on appropriate metrics, keeping in mind the likely correlation between the effect of broader impacts and the resources provided to implement projects. If the size of the activity is limited, evaluation of that activity in isolation is not likely to be meaningful. Thus, assessing the effectiveness of these activities may best be done at a higher, more aggregated, level than the individual project.

With respect to the third principle, even if assessment of Broader Impacts outcomes for particular projects is done at an aggregated level, PIs are expected to be accountable for carrying out the activities described in the funded project. Thus, individual projects should include clearly stated goals, specific descriptions of the activities that the PI intends to do, and a plan in place to document the outputs of those activities.

These three merit review principles provide the basis for the merit review criteria, as well as a context within which the users of the criteria can better understand their intent.

2. Merit Review Criteria

All NSF proposals are evaluated through use of the two National Science Board approved merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two merit review criteria are listed below. **Both** criteria are to be given **full consideration** during the review and decision-making processes; each criterion is necessary but neither, by itself, is sufficient. Therefore, proposers must fully address both criteria. ([GPG Chapter II.C.2.d.i.](#) contains additional information for use by proposers in development of the Project Description section of the proposal.) Reviewers are strongly encouraged to review the criteria, including [GPG Chapter II.C.2.d.i.](#), prior to the review of a proposal.

When evaluating NSF proposals, reviewers will be asked to consider what the proposers want to do, why they want to do it, how they plan to do it, how they will know if they succeed, and what benefits could accrue if the project is successful. These issues apply both to the technical aspects of the proposal and the way in which the project may make broader contributions. To that end, reviewers will be asked to evaluate all proposals against two criteria:

- **Intellectual Merit:** The Intellectual Merit criterion encompasses the potential to advance knowledge; and
- **Broader Impacts:** The Broader Impacts criterion encompasses the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.

The following elements should be considered in the review for both criteria:

1. What is the potential for the proposed activity to
 - a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
 - b. Benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?
3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or organization to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?

Broader impacts may be accomplished through the research itself, through the activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. NSF values the advancement of scientific knowledge and activities that contribute to achievement of societally relevant outcomes. Such outcomes include, but are not limited to: full participation of women, persons with disabilities, and underrepresented minorities in science, technology, engineering, and mathematics (STEM); improved STEM education and educator development at any level; increased public scientific literacy and public engagement with science and technology; improved well-being of individuals in society; development of a diverse, globally competitive STEM workforce; increased partnerships between academia, industry, and others; improved national security; increased economic competitiveness of the United States; and enhanced infrastructure for research and education.

Proposers are reminded that reviewers will also be asked to review the Data Management Plan and the Postdoctoral Researcher Mentoring Plan, as appropriate.

Additional Solicitation Specific Review Criteria

To be considered by PIRE reviewers:

1. **Value Added through International Partnership and perceived strength of proposed partnership and partner resources**

To what extent is the international partnership essential to the proposed project? How does each participating institution contribute to advancement of the PIRE project? Is the whole greater than the sum of its parts? Do all partners have or propose the funding and resources necessary to carry out the proposed project?

2. **Internationally-Engaged Educational Activities**

How do the proposed educational activities of the PIRE project promote educational excellence via international collaboration and development of a globally-engaged U.S. science and engineering workforce?

3. Institutional Engagement

How clearly presented are the roles and contributions of each participating organization? How well defined are anticipated benefits that each of the project's partners will gain in the proposed partnership?

4. Evaluation and Assessment

How effective is the proposed plan likely to be in measuring project outputs and outcomes? How clear and appropriate are the proposed metrics and criteria for measuring project accomplishments according to a well-defined schedule?

5. Project Management

How well is the management structure described and how appropriate is that structure for effective management, coordination, logistics and oversight of the PIRE activities?

B. Review and Selection Process

Proposals submitted in response to this program solicitation will be reviewed by

Ad hoc Review and/or Panel Review.

Reviewers will be asked to evaluate proposals using two National Science Board approved merit review criteria and, if applicable, additional program specific criteria. A summary rating and accompanying narrative will generally be completed and submitted by each reviewer and/or panel. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF strives to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. Large or particularly complex proposals or proposals from new awardees may require additional review and processing time. The time interval begins on the deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director acts upon the Program Officer's recommendation.

After programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications. After an administrative review has occurred, Grants and Agreements Officers perform the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at their own risk.

Once an award or declination decision has been made, Principal Investigators are provided feedback about their proposals. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers or any reviewer-identifying information, are sent to the Principal Investigator/Project Director by the Program Officer. In addition, the proposer will receive an explanation of the decision to award or decline funding.

VII. AWARD ADMINISTRATION INFORMATION

A. Notification of the Award

Notification of the award is made to *the submitting organization* by a Grants Officer in the Division of Grants and Agreements. Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator. (See Section VI.B. for additional information on the review process).

B. Award Conditions

An NSF award consists of: (1) the award notice, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award notice; (4) the applicable award conditions, such as Grant General Conditions (GC-1)*; or Research Terms and Conditions* and (5) any announcement or other NSF issuance that may be incorporated by reference in the award notice. Cooperative agreements also are administered in accordance with NSF Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC) and the applicable Programmatic Terms and Conditions. NSF awards are electronically signed by an NSF Grants and Agreements Officer and transmitted electronically to the organization via e-mail.

*These documents may be accessed electronically on NSF's Website at http://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from nsfpubs@nsf.gov.

More comprehensive information on NSF Award Conditions and other important information on the administration of NSF awards is contained in the *NSF Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag.

C. Reporting Requirements

For all multi-year grants (including both standard and continuing grants), the Principal Investigator must submit an annual project report to the cognizant Program Officer no later than 90 days prior to the end of the current budget period. (Some programs or awards require submission of more frequent project reports). No later than 120 days following expiration of a grant, the PI also is required to submit a final project report, and a project outcomes report for the general public.

Failure to provide the required annual or final project reports, or the project outcomes report, will delay NSF review and processing of any future funding increments as well as any pending proposals for all identified PIs and co-PIs on a given award. PIs should examine the formats of the required reports in advance to assure availability of required data.

PIs are required to use NSF's electronic project-reporting system, available through Research.gov, for preparation and submission of annual and final project reports. Such reports provide information on accomplishments, project participants (individual and organizational), publications, and other specific products and impacts of the project. Submission of the report via Research.gov constitutes certification by the PI that the contents of the report are accurate and complete. The project outcomes report also must be prepared and submitted using Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted on the NSF website exactly as it is submitted by the PI.

More comprehensive information on NSF Reporting Requirements and other important information on the administration of NSF awards is contained in the *NSF Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag.

In addition to the standard reporting requirements described above, PIRE PIs must include information on: international location(s) visited, duration of stay, and research activity undertaken by all participants, noting the career stage of each participant. Each PIRE project must also provide metrics, demonstrating progress towards achieving PIRE program goals in accordance with the proposed Assessment and Management Plan. Reporting requirements will be detailed in the PIRE award letters.

VIII. AGENCY CONTACTS

Please note that the program contact information is current at the time of publishing. See program website for any updates to the points of contact.

General inquiries regarding this program should be made to:

- Cassandra M. Dudka, telephone: (703)292-7250, email: PIRE-info@nsf.gov
- Cassidy Burke, telephone: (703)292-2464, email: PIRE-info@nsf.gov

For questions related to the use of FastLane, contact:

- FastLane Help Desk, telephone: 1-800-673-6188; e-mail: fastlane@nsf.gov.

For questions relating to Grants.gov contact:

- Grants.gov Contact Center: If the Authorized Organizational Representatives (AOR) has not received a confirmation message from Grants.gov within 48 hours of submission of application, please contact via telephone: 1-800-518-4726; e-mail: support@grants.gov.

For questions about proposals within specific disciplines, contact one of the following Program Officers:

- **Biological Sciences**
 - Sally O'Connor – soconnor@nsf.gov, (703) 292-4552
- **Computer and Information Science and Engineering**
 - Jun (Luke) Huan - JHUAN@nsf.gov, (703) 292-7242
- **Education and Human Resources**
 - Richard Tankersley - rtankers@nsf.gov, (703) 292-5199
- **Engineering**
 - Richard Frazasz - rfragas@nsf.gov, (703) 292-7011; and Eyad Abed - eabed@nsf.gov, (703) 292-5388
- **Geosciences**
 - Maria Uhle - muhle@nsf.gov, (703) 292-2250; or
- **Mathematical and Physical Sciences**
 - Leland (Lee) Jameson - lameson@nsf.gov, (703) 292-4883
- **Social, Behavioral & Economic Sciences**
 - Colleen Fitzgerald - cfitzger@nsf.gov, (703) 292-4381

For questions regarding co-funding opportunities with external agencies, use the following contacts:

- **Brazil:**
 - The Fundacao de Amparo a Pesquisa do Estado de Sao Paulo (FAPESP), Bruna Musa, Bruna@fapesp.br
- **China:**
 - Ministry of Science and Technology (MOST), Jia Lv, lvjia@most.cn
- **Czech Republic**
 - Ministry of Education, Youth, and Sports of the Czech Republic (MEYS), Maria Krausova, maria.krausova@msmt.cz
 - Technology Agency of the Czech Republic (TA CR), Petr Matolín, matolin@tacr.cz
- **France:**
 - Agence Nationale de la Recherche (ANR): Nakita Vojdani, nakita.vojdani@agencerecherche.fr
 - Centre National de la Recherche Scientifique (CNRS): Xavier Morise, Xavier.MORISE@cnrs-dir.fr
- **Germany:**
 - Deutsche Forschungsgemeinschaft (DFG): Max Vögler, max.voegler@dfg.de
- **India:**
 - Science and Engineering Research Board (SERB): Rajiv Kumar Tayal, tayal@nic.in

- **Ireland:**
 - Science Foundation Ireland (SFI): Aisling McEvoy, pire@sfi.ie
- **Italy:**
 - Italian National Institute of Nuclear Physics (INFN): Antonio Masiero, antonio.masiero@pd.infn.it
- **Japan:**
 - Japan Society for the Promotion of Science (JSPS): Hiroshi Ando, bottom-up@jsps.go.jp
 - Japan Science and Technology Agency (JST): Takeshi Usami, t2usami@jst.go.jp
- **Republic of Korea:**
 - National Research Foundation of Korea (NRF): Gyeong Min, lesoleil0913@gmail.com
- **Mexico:**
 - Consejo Nacional de Ciencia y Tecnología (CONACYT): Héctor Sámano Rocha, hsamano@conacyt.mx
- **Norway:**
 - Research Council of Norway (RCN): Berit Johnne, bj@rcn.no
- **Poland:**
 - National Science Centre of Poland (NCN): Anna Plater-Zyberk, Anna.Plater@ncn.gov.pl and Marcin Liana, Marcin.Liana@ncn.gov.pl
- **Russia:**
 - Ministry of Education and Science (MES): Irina Kuklina, ikouklina@mail.ru
- **Spain:**
 - Ministry of Economy and Competitiveness (MINECO): David González Martínez, Estrella Fernandez, or Alfio Rodeghiero, sgpint@mineco.es
- **Switzerland:**
 - Swiss National Science Foundation (SNSF): Dominique Lazo-Flores (Stutz), dominique.lazo-flores@snf.ch
- **Taiwan:**
 - Ministry of Science and Technology (MOST), Taiwan: Jennifer Hu, jenhu@most.gov.tw, (886) 2-2737-7560
- **Turkey:**
 - Turkey: Scientific and Technological Research Council of Turkey (TUBITAK): Guliz Sutcu, guliz.sutcu@tubitak.gov.tr
- **USA:**
 - US Agency for International Development (USAID) through the Partnerships for Enhanced Engagement in Research Program (PEER Science): Annica Wayman, awayman@usaid.gov

IX. OTHER INFORMATION

The NSF website provides the most comprehensive source of information on NSF Directorates (including contact information), programs and funding opportunities. Use of this website by potential proposers is strongly encouraged. In addition, "NSF Update" is an information-delivery system designed to keep potential proposers and other interested parties apprised of new NSF funding opportunities and publications, important changes in proposal and award policies and procedures, and upcoming NSF [Grants Conferences](#). Subscribers are informed through e-mail or the user's Web browser each time new publications are issued that match their identified interests. "NSF Update" also is available on [NSF's website](#).

Grants.gov provides an additional electronic capability to search for Federal government-wide grant opportunities. NSF funding opportunities may be accessed via this mechanism. Further information on Grants.gov may be obtained at <http://www.grants.gov>.

Other useful information for submitting proposals to the PIRE Program is available on the [PIRE Home Page](#)

Other programs managed by the Office of International Science and Engineering include:

- [East Asia Pacific Summer Institutes for U.S. Graduate Students \(EAPSI\)](#)
- [International Research Experiences for Students \(IRES\)](#)

Related Programs:

Investigators may also wish to view the Programs and Funding Opportunities section of the OISE home page <http://www.nsf.gov/dir/index.jsp?org=OISE> to view the lists of OIA/ISE Managed Opportunities and other NSF Opportunities that Highlight International Collaboration.

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) is an independent Federal agency created by the National Science Foundation Act of 1950, as amended (42 USC 1861-75). The Act states the purpose of the NSF is "to promote the progress of science; [and] to advance the national health, prosperity, and welfare by supporting research and education in all fields of science and engineering."

NSF funds research and education in most fields of science and engineering. It does this through grants and cooperative agreements to more than 2,000 colleges, universities, K-12 school systems, businesses, informal science organizations and other research organizations throughout the US. The Foundation accounts for about one-fourth of Federal support to academic institutions for basic research.

NSF receives approximately 55,000 proposals each year for research, education and training projects, of which approximately 11,000 are funded. In addition, the Foundation receives several thousand applications for graduate and postdoctoral fellowships. The agency operates no laboratories itself but does support National Research Centers, user facilities, certain oceanographic vessels and Arctic and Antarctic research stations. The Foundation also supports cooperative research between universities and industry, US participation in international scientific and engineering efforts, and educational activities at every academic level.

Facilitation Awards for Scientists and Engineers with Disabilities provide funding for special assistance or equipment to enable persons with disabilities to work on NSF-supported projects. See Grant Proposal Guide Chapter II, Section D.2 for instructions regarding preparation of these types of proposals.

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS)

capabilities that enable individuals with hearing impairments to communicate with the Foundation about NSF programs, employment or general information. TDD may be accessed at (703) 292-5090 and (800) 281-8749, FIRS at (800) 877-8339.

The National Science Foundation Information Center may be reached at (703) 292-5111.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website at <http://www.nsf.gov>

- **Location:** 4201 Wilson Blvd. Arlington, VA 22230
- **For General Information** (NSF Information Center): (703) 292-5111
- **TDD (for the hearing-impaired):** (703) 292-5090
- **To Order Publications or Forms:**
 - Send an e-mail to: nsfpubs@nsf.gov
 - or telephone: (703) 292-7827
- **To Locate NSF Employees:** (703) 292-5111

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; and project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to proposer institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies or other entities needing information regarding applicants or nominees as part of a joint application review process, or in order to coordinate programs or policy; and to another Federal agency, court, or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, [NSF-50](#), "Principal Investigator/Proposal File and Associated Records," 69 Federal Register 26410 (May 12, 2004), and [NSF-51](#), "Reviewer/Proposal File and Associated Records," 69 Federal Register 26410 (May 12, 2004). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

An agency may not conduct or sponsor, and a person is not required to respond to, an information collection unless it displays a valid Office of Management and Budget (OMB) control number. The OMB control number for this collection is 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding the burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to:

Suzanne H. Plimpton
Reports Clearance Officer
Office of the General Counsel
National Science Foundation
Arlington, VA 22230

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